

MWI 5115.1

REVISION A

EFFECTIVE DATE: August 16, 1999

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MARSHALL WORK INSTRUCTION

PS01

HANDLING OF UNSOLICITED PROPOSALS

CHECK THE MASTER LIST at
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DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		5/14/99	Document converted from MSFC-P06.1-C01 to a Directive. Previous history retained in system as part of canceled or superseded ISO Document files.
Revision	A	8/16/99	Changes made to reflect new MSFC reorganization.

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1. PURPOSE

This document provides work instructions for requirements in MSFC Quality System element 4.6, Purchasing. It describes the process for handling unsolicited proposals received at the Marshall Space Flight Center (MSFC).

2. APPLICABILITY

This MWI applies to all organizational elements involved in the receipt and processing of unsolicited proposals.

3. APPLICABLE DOCUMENTS

- a. Federal Acquisition Regulation (FAR), Subparts 15.6 and 26.3
- b. NASA Federal Acquisition Regulation Supplement (NFS), Subpart 1815.6
- c. NPG 5800.1, "Grant and Cooperative Agreement Handbook"
- d. Unnumbered, "Guidance for the Preparation and Submission of Unsolicited Proposals"
- e. MPG 5000.1, "Purchasing"
- f. MWI 5000.1, "Processing NASA Research Announcements (NRA's) and Cooperative Agreement Notices (CAN's)"
- g. MWI 5100.1, "Procurement Initiators Guide"
- h. PS-OWI-03, "Procurement Systems and Data Management"
- i. PS-OWI-07, "Noncompetitive Procurement Documentation"

4. REFERENCES

None

5. DEFINITIONS

- a. Academia. Private or state-supported school, university, or educational institution.
- b. Controlled Unsolicited Proposal. An unsolicited proposal that has been assigned a control number by PS10.

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c. HBCU. Historically Black Colleges and Universities (FAR 26.301).

d. MI. Minority Institutions (FAR 26.301).

e. NRA. NASA Research Announcement.

f. Submitter. Individual or legal representative who submits the unsolicited proposal for consideration. (See Guidance for the Preparation and Submission of Unsolicited Proposals.)

g. Unsolicited Proposal. A written proposal submitted to NASA on the initiative of the submitter (independently originated) for the purpose of obtaining a contract (or other agreement) with the Government, not in response to a formal or informal request (other than a NASA request constituting a publicized general statement of needs). It must demonstrate an innovative and unique concept or capability, contain sufficient technical and cost information to permit a meaningful evaluation, and present a product or service not otherwise available that would contribute to NASA's mission. (See FAR 15.6, NFS 1815.6, and NPG 5800.1.)

h. Unsolicited Proposal Coordinating Office. A point of contact established within MSFC to coordinate the receipt, evaluation, and disposition of unsolicited proposals.

i. Unsolicited Proposal Evaluation Request Package. Includes the following:

(1) Justification for Other Than Full and Open Competition (JOFOC) Guide for Unsolicited Proposals. (See PS-OWI-07.)

(2) MSFC Form 4236. Unsolicited Proposal Recommendation.

(3) MSFC Form 4236-1. Justification for Acceptance of an Unsolicited Proposal (JAUP).

(4) MSFC Form 4236-2. Proposal Budget Evaluation.

(5) MSFC Form Letter 129. Request for Evaluation of Unsolicited Proposal.

(6) NASA Form 1356. C.A.S.E. Report on College and University Projects.

(7) Notice. Unsolicited Proposal-Use of Data Limited. (Required if Unsolicited Proposal is received without any

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restrictive legend and no evaluation outside the Government is necessary.)

(8) Recommendation and Determination to Solicit from One Source (RDSS) (applicable if less than \$100,000). (See PS-OWI-07.)

(10) Technical Evaluation Guide for Unsolicited Proposals.

6. INSTRUCTIONS

This MWI relates to the receipt, process, evaluation and administration, and award of all unsolicited proposals received at MSFC. Upon receipt, all unsolicited proposals are to be forwarded to the Procurement Office, Policy and Information Management Department/PS10.

a. Action by PS10:

(1) Receive all unsolicited proposals directed to MSFC. Maintain an Official File of each unsolicited proposal with submitter's name, date received, subject/title and amount in U.S. currency.

(2) Forward copy of unsolicited proposal to Procurement Officer for approval. If disapproved, forward denial letter to submitter. Maintain a copy of the proposal in Official File.

(3) If approved, assign a control number to the unsolicited proposal.

(4) Controlled unsolicited proposal, with an unsolicited proposal evaluation package, will be forwarded to cognizant program/project office requesting a technical evaluation.

(5) If controlled unsolicited proposal is from an MI or an HBCU, a copy of proposal will be forwarded to the Equal Opportunity Office/OS01 for minority evaluation and funding.

(6) If controlled unsolicited proposal is from outside the United States, a copy of proposal will be forwarded to Technology Transfer Department/CD30 for evaluation and funding.

(7) Copies of all unsolicited proposals received from academia will be forwarded to Education Programs Department/CD60 for Center statistics.

(8) When a controlled unsolicited proposal has congruence to an NRA, proposal will be forwarded to the office administering the NRA for technical evaluation. (See MWI 5000.1, "Processing NASA

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Research Announcements (NRA's) and Cooperative Agreement Notices (CAN's).")

(9) Maintain a copy of MSFC Form 4236 in Official Unsolicited Proposal file.

(10) If for funding or technical reasons the technical evaluating office decides not to process the unsolicited proposal for award, PS10 will issue a notification to the submitter with the reason, upon receipt of the written technical evaluation.

b. Action by Centerwide Organizations:

Route all misdirected (uncontrolled), unsolicited proposals to PS10 before taking any action.

c. Action by cognizant Department or Office; Equal Opportunity Office; Technology Transfer Department; Education Programs Department:

(1) Upon receipt of a Request for Technical Evaluation (evaluation request package) of a controlled Unsolicited Proposal from PS10, complete Form 4236 and return it to PS10 within 14 days of the date of the request.

(2) Follow-up with PS10 when trying to "locate funds." Completion of technical evaluation and search for funds is limited to a total of 45 days.

(3) If a controlled unsolicited proposal has been evaluated and is to be funded for award, prepare a complete procurement package (procurement request, written technical evaluation, and as appropriate, a JAUP [MSFC Form 4236-1], JOFOC, or RDSS; Proposal Budget Evaluation [MSFC Form 4236-2]; C.A.S.E. Report [NASA Form 1356]; etc.) for award processing by the Procurement Office. (See MWI 5100.1, "Procurement Initiators Guide," and PS-OWI-03.)

7. NOTES

None

8. SAFETY PRECAUTIONS AND WARNING NOTES

Unsolicited Proposal-Use Of Data Limited.

9. RECORDS

a. Quality Records. See MPG 5000.1, "Purchasing."

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b. Forms/Formats. The blank forms and formats listed below are not quality records.

Notice -- Unsolicited Proposal--Use of Data Limited
MSFC Form Letter 129 -- Request for Evaluation of Unsolicited Proposal
MSFC Form 4236 -- Unsolicited Proposal Recommendation
MSFC Form 4236-1 -- Justification for Acceptance of an Unsolicited Proposal (JAUP)
MSFC Form 4236-2 -- Proposal Budget Evaluation
JOFOC -- Justification for Other Than Full and Open Competition Guide for Unsolicited Proposals
RDSS -- Recommendation and Determination to Solicit from Only One Source
Technical Evaluation Guide for Unsolicited Proposals
NASA Form 1356 -- C.A.S.E. Report on College and University Projects

10. PERSONNEL TRAINING AND CERTIFICATION

See MWI 5100.1.

11. FLOW DIAGRAM

See Appendix A.

12. CANCELLATION

MWI 5115.1 dated May 14, 1999

Original Signed by

A. G. Stephenson
Director

Appendix A Unsolicited Proposal Flow Diagram

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APPENDIX A UNSOLICITED PROPOSAL FLOW DIAGRAM

